State of North Carolina
PPM Tool Gate1 Checklist For Projects Over $500K
Initiation Exit Criteria and Planning & Design Entrance Criteria

Agency:	
Project Name:	
Project Manager:	
Date:	
Agency Reviewer:	

Item	PPMT TAB	PPM Tool Section		SCIO Required Field	Field Was Updated			Doc Placed in Doc Mgt	Field Data Notes / Instructions	PMA Comments	PM Comments	Agency QA Review Comments
		Section	Field		YES	NO	NA					
1.000		*Project Information Tab*										
1.100		Project Information										
1.101			Project Name	Y					Enter the name of the IT Project.			
1.102			Start Date	Y					Enter the actual beginning date the IT project was Initiated.			
1.103			End Date	Y					Enter the projected end date of the IT project (initiation through closeout).			
1.104			Creation Date						**System generated field.** Date the project was created in the PPM Tool and added to the database.			
1.105			Workflow Status						**System generated field.** Phase of the PPM Workflow.			
1.106			Fixed Start Date						Not required at this time. The Fixed Start Date would be a predetermined date driven by a dependent or higher priority project or external requirement. EX: Another dependent or higher priority project requires this project to be started by a certain time. Or, funding approval requires this project to be initiated by a certain point in time. Or, federally imposed requirements, legislation or regulations require this project to be initiated by a certain date. etc."			
1.107			Fixed End Date						Not required at this time. The Fixed End Date would be an external date requirement. EX: Another project, funding, federal requirements, state requirements, grant requirements, etc.			
1.108			Benefits Start Date	Y					Enter the date the project will start realizing the financial benefits entered on the "Benefits Estimates: tab.			
1.109			Capitalization Period	Y					Enter the duration of Capitalization Period. The Capitalization Period is the amount of time the cost will be added to the TCO (total cost of ownership) for Operations and Maintenance (O&M). This is usually 60 months (5 years).			
1.110			ProjectID						**System generated field.** The ProjectID is used as a reference point in the PPM Database.			

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1.111			Agency ProjectID	Y					Enter the number the Agency assigns to the project to identify the project.			
1.112			Project Range	Y					Using the drop down list, choose the investment cost range for your project. The estimated Investment cost = Project Cost (Initiation through Closeout Phase) + 5 years O & M Cost.			
1.113			Project Range Level of Confidence	Y					Using the drop down list, select the percentage range that best reflects the projected investment cost range at project completion.			
1.114			Type of Project	Y					Using the drop down list, choose the description that best fits the type of this IT project.			
1.115			Budget Code	Y					Enter the accounting code or codes assigned to this project by your agency budget analysts.			
1.116			Initiation Phase Budget	Y					Enter the estimated cost of the Initiation Phase for this project. This is the same number that was entered on the Budget Cost tab for Initiation at level 1. (This will be displayed in the Total column of the Budget Cost tab.)			
1.117			Planning & Design Phase Budget	Y					Enter the estimated cost of the Planning & Design Phase for this project. This is the same number that was entered on the Budget Cost tab for Initiation at level 1. (This will be displayed in the Total column of the Budget Cost tab.)			
1.118			Department or Agency	Y					Enter the Agency Name.			
1.119			Division	Y					Enter the Agency Division Name.			
1.120			Project Manager Name	Y					Enter the Project Manager responsible for managing this project.			
1.121			Project Manager Telephone	Y					Enter the Project Manager Telephone Number.			
1.122			Project Manager E-Mail	Y					Enter the Project Manager E-mail Address.			
1.123			Project Security Contact	Y					Enter the name of the agency security staff assigned to project.			
1.124			Project Sponsor	Y					Enter the name of the business sponsor.			
1.125			Project Sponsor Organization	Y					Enter the name of business sponsor's division within the agency.			
1.200		**Budget Information**										
1.201			For this fiscal year, are funds currently budgeted for this project?	Y					Indicate whether this project is funded for this fiscal year by selecting "Yes" or "No".			
1.202			For Fiscal Year, If Yes, please reference the application budget codes and fund codes. If no, what is your plan to secure funding?	Y					Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).			
1.203			For the total scope of the project, are funds currently budgeted?	Y					Indicate whether the funds are budgeted for the entire project by selecting "Yes" or "No".			

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1.204			For Total Scope, If yes, please reference the application budget codes and funds. If no, what is your plan to secure funding?	Y					Type in the budget codes and fund codes that are associated with this project. If funds are not currently budgeted for this project explain how they will be obtained (attach a document on Document Management tab if necessary).			
1.205			Expansion Budget Request	Y					Indicate whether this is an expansion budget request by selecting "Yes" or "No".			
1.206			New Expansion Budget $ required in Year 1	Y					If this is an expansion budget request, indicate whether the funds are required in year 1 by selecting "Yes" or "No".			
1.207			New Expansion Budget $ required in Year 2	Y					If this is an expansion budget request, indicate whether the funds are required in year 2 by selecting "Yes" or "No".			
1.208			Contributor	Y					Enter the names of all users who have edit access to this project in the PPM Tool.			
1.209			PMA	Y					**This field will be entered by the EPMO staff.** The EPMO will assign a PMA to this project when the project is added to the PPM Tool database.			
1.210			Project Reviewer	Y					Enter the name of the Agency staff with Read Only access who will review this project at each gate.			
1.211			Assigned PMA	Y					**This field will be entered by the EPMO staff.** The EPMO will assign a PMA to this project when the project is added to the PPM Tool database.			
1.300		**Initiation Phase - Project Charter**										
		Business Issues and Business Goals										
1.301			Business Issues	Y					Describe what business factors led to the proposal of this project. These may be issues (i.e. any matters that require resolution), opportunities (e.g. potential for improved service or reduced cost) or mandates (e.g. state or federal). EX: Excessive number of customer complaints has resulted in poor public image and excessive support work			
1.302			Business Goals	Y					Describe what will this project achieve at a business level. The Business Goals specifically define those outcomes through which the Project Mission will be accomplished. A single project may have multiple Business Goals. EX: The agency intends to improve customer service and thereby reduce the number of customer complaints, improve the agency's public image, reduce support work and reassign some support staff to more productive work.			
1.400		**Project Definition**										
1.401			Project Goals	Y					Describe the project goals. The project goal is delivery of a product that will allow achievement of the business goal. EX: Install a new safety inspection scheduling system to meet federal guidelines for safety inspections.			

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1.402			Project Deliverables	Y					Describe the project deliverables. Products or services that will result from work on this project. EX: Implementation of software and/or hardware; training; documentation; may be a single report that assesses parameters and implementation consideration for the subsequent project phase.			
1.403			Items out of Scope (scope exclusions)	Y					Define what is out of scope for this project. Eliminate ambiguity or uncertainty by specifically stating any defined exclusions. EX: The project is already being hosted by XXXX and does not have any additional hosting requirements.			
1.404			Proposed Strategy	Y					Describe the strategy this project will take from Initiation to Implementation. The proposed strategy may be viewed as a preliminary, high-level work plan – a summary of the major tasks to be performed and a brief explanation of how each task will be executed. EX: The Proposed Strategy might include mention of Project Plan, Discovery (acquire requirements), RFP, contract, design, specification, build or configure, test, training, rollout, etc. and brief statement about each.			
1.405			High Level Assumptions and Constraints	Y					List any Assumptions (EX: hosting at ITS or the application will be NCID compliant) and Constraints (EX: funding) that may affect the			
1.406			Key Dependencies External to the Project	Y					List any dependencies external to this project that will have a direct impact to the cost, schedule or resources of this project. Is the success of this project dependent upon delivery of some product or service that is outside the control of the project team? Is any other project depending upon the timely delivery of a product or service from this project? If yes, list them here.			
1.407			Project Organization and Roles	Y					List individuals and groups involved in the project along with their roles. If you have created an Org Chart, please attach it to the Document Management tab and reference the document here. EX: See "Document1" in the Document Management tab.			
1.500		**Enterprise Architecture Questionnaire**										
1.501			Select the Common Shared technical Infrastructure and Services	Y					Using the drop down list, select all applicable services that will be used in the implementation of this system. Refer to the State CIO Website for addition insights as to the purpose and intent of Common Shared Technical Infrastructure and Technical Services. Refer to the ITS website for a more complete description of listed services.			
1.502			Will this project replace or enhance and existing system?	Y					Specify whether the purpose of this project is to replace or enhance all or a portion of an existing production system by selecting "Y" or "N".			
1.503			Will the project include security enhancements for an existing system?	Y					Specify whether all or part of the purpose of this project is to improve the security of an existing system by selecting "Y" or "N".			

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1.504			Which clients will access this system via the internet?	Y					Using the drop down list, select the type of users that may access this system via the internet from their office, at home (e.g. telecommuting), or from remote locations (e.g. mobile workers). Citizens may access the system from any location. Businesses (i.e. employees of businesses) may also access systems via the Internet in the certain cases (e.g. established extranet business relations). If any of these cases (or similar situations are true), then the appropriate values should be selected.			
1.505			Which clients will require login functionality?	Y					Using the drop down list select the type of login access required for internet access.			
1.506			Is the system required to comply with federal or state FERPA privacy laws?	Y					Using the drop down list choose the state and/or federal regulations for which this project must comply with. EX: Health Information Portability and Accountability Act (HIPAA) and the Family Education Rights and Privacy Act (FERPA).			
1.507			Will this system interface with State Business Infrastructure Systems?	Y					Indicate whether Interfacing with the State Business Infrastructure Systems is a critical component of any system being implemented by the state by selecting "Y" or "N".			
1.508			Which entities will this system integrate with?	Y					Using the drop down list, select all entities that will need integration to this system. EX: May be within an agency, inter-agency, inter-			
1.509			Which staffing approach will be utilized to deliver this system?	Y					Using the drop down list, select all staffing approaches that will be used to deliver this system.			
1.510			How will the functionality for this system be delivered?	Y					Using the drop down list, select the method this system will be delivered. Incremental implementation of a system is most often the best method to deliver system functionality. However some systems must be implemented holistically EX: At the beginning of a fiscal year.			
1.511			What Pilot approach will be utilized prior to rollout of this system?	Y					If this is a pilot project, use the drop down list to choose the Pilot Approach. If this is not a Pilot project, please select "NA". Proof of Concept – Software written to gather requirements, prove or test a technology, language, environment, or approach. A proof of concept should not be implemented as a production system. Prototype – A small working version of a proposed system used to gather requirements, validate requirements, or demonstrate system functionality. Pilot – An approach designed to evaluate a preliminary version of a system in a simulated production environment. Limited Production – A production system is rolled out to a predetermined subset of users and proven to perform as expected. Not Applicable – No pre-production rollout activities will be conducted.			
1.600		**Security Questions**										

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1.601			Will your project accept credit cards? If so, then the system must be PCI compliant prior to implementation and usage of the CPS offered by OSC should be utilized.	Y					Indicate whether this project will use credit cards by selecting "Y" or "N". If the project is using credit cards it must become PCI compliant prior to implementation.			
1.602			As a result of the project will there be collection and/or storage of Personal/Confidential data? If so, choose which data.	Y					Using the drop down list select the type of personal/confidential data that will be collected. Please select all that are applicable from the drop down list. You may have more than one selection for this this project.			
1.700		**Alternative Analysis Completed (Required only if Investment Cost > $10M)**										
1.701			Alternative Analysis Completed	TBD				Y	**This is only to be completed if the TCO is > $10M.** The forms can be found on the EPMO Website under forms and must be attached to the Document Management tab.			
1.800		**Project Manager Interview Completed (To be completed by EPMO)**										
1.801			Project Manager Interview Completed	Y				Y	**This field will be updated by the PMA.** The PMA will complete a project manager interview, attach the project manager interview document to the Document Management tab and mark this field to a "Y".			
1.900		**Planning and Design Phase**										
1.901			System Design Document Status	N					This System Document is not needed for Gate 1. the System Design template can be found on the ETS Website.			
2.000		**Agency Document Checklist**							Select which documents will be done during the Planning & Design Phase of the project. Please use the EPMO suggested template or provide your agency template for each of the documents selected. Only the Staffing Plan and the Preliminary Procurement Plan are required for Gate 1.			
2.001			Project Plan	N					Indicate whether this project will provide a Project Plan by selecting "Y" or "N". The Project Plan is a text document outlining how the project will be managed. "This is not a Microsoft Project Work Plan or WBS. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			

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2.002			Work Breakdown Structure (WBS)	N					Indicate whether this project will provide a WBS by selecting "Y" or "N". The WBS is a formal document with analysis of the activities, tasks, and sub-tasks that must be accomplished to build a project. A product or activity oriented hierarchy tree depicting the elements of work that need to be accomplished in order to deliver a product. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES". A project schedule can be submitted for the WBS. EX: A WBS can be in the form of a Microsoft Project Plan or an EXCEL spreadsheet outlining the task.			
2.003			Staffing Plan	Y					Indicate that this project will provide a Staffing Plan by selecting "Y". NOTE: This document is required for Gate 1 and must be loaded into the Document Management tab. The Staffing Plan must show the planned hours and planned cost by month per phase. Each month, the Staffing Plan will be updated with the actual hours and cost expended for the month. The Staffing Plan Template can be found in the Help section of the PPM Tool and the EPMO Website under templates. The Staffing Plan must have the plan hours and cost for the Initiation Phase and the Planning & Design Phase. The Staffing Plan must have the actual hours and cost for the Initiation Phase.			
2.004			Business Requirements Documented	N					Indicate whether this project will provide a Business Requirements Document by selecting "Y" or "N". The requirements document should list all the project requirements in scope for this project. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.005			Communication Plan	N					Indicate whether this project will provide a Communication Plan by selecting "Y" or "N". The Communication Plan should describe the type and frequency of planned communications needed for the project. It should also describe the frequency status reports will be distributed to key stakeholders. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.006			Hardware and Software Procurement Plan	Y					Indicate whether this project will provide a Procurement Plan by selecting "Y". NOTE: This document is required if anything is being purchased. The Procurement Plan describes what will be procured and how it will be procured for this project. For Gate 1 submit the preliminary procurement plan. The Procurement Plan Template can be found in the Help section of the PPM Tool and the EPMO Website under templates.			

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2.007			Change Management Plan	N					Indicate whether this project will provide a Change Management Plan by selecting "Y" or "N". The formal process of recording, analyzing, estimating, tracking and reporting of changes to the project baseline business functional requirements, schedule, budget, O & M or project implementation. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.008			Training Plan	N					Indicate whether this project will provide a Training Plan by selecting "Y" or "N". A document that describes the scope, approach, resource, and schedule of training activities. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.009			Project Test Plan	N					Indicate whether this project will provide a Project Test Plan by selecting "Y" or "N". A document that describes the scope, approach, resources, and schedule of intended test activities. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.010			Deployment and Rollout Plan	N					Indicate whether this project will provide a Deployment & Rollout Plan by selecting "Y" or "N". A document that describes the planned implementation of the project over a time span. The rollout is usually scheduled by groups or sections. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.011			Acceptance Criteria Plan	N					Indicate whether this project will provide a Acceptance Criteria Plan by selecting "Y" or "N". A document that describes the list of requirements that must be satisfied prior to the customer accepting delivery of the product. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.012			Risk Management Plan	N					Indicate whether this project will provide a Risk Management Plan by selecting "Y" or "N". A document that identifies risk, assesses the impact of the risk, and provides the project response to the risk. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.013			Project Quality Assurance Plan	N					Indicate whether this project will provide a Project Quality Assurance Plan by selecting "Y" or "N". A document that tracks the project performance, adherence to requirements and standards, and defect resolution of the project. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			

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2.014			Statement of Work (SOW)	N					Indicate whether this project will provide a SOW by selecting "Y" or "N". A document containing the integrated set of task descriptions, goal descriptions, risks, and assumptions that the 3rd party (e.g. vendor, other agency, other team) will be measured on for project delivery. Typically this is the SOW contained in the RFP that was signed by all involved parties. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES". DO NOT attach the RFP to the PPM Tool. If you want to attach the SOW section (after the RFP has been released) you can copy that section and place it into a word document and attach it to the PPM Tool.			
2.015			Configuration Management Plan	N					Indicate whether this project will provide a Configuration Management Plan by selecting "Y" or "N". A document outlining how the methodical storage and recording of all software components and deliverables during all project phases will be handled. The document is not required for Gate 1 but will be required for Gate 2 if you select "YES".			
2.100		**Execution and Build Phase**										
2.101		**Agency Document Checklist**										
2.102			Disaster Recovery or Business Continuity Plan	N					Not required for Gate 1.			
2.103			Test and Acceptance Results	N					Not required for Gate 1.			
2.104			Pilot Results	N					Not required for Gate 1.			
2.105			Operations and Maintenance Transition Plan	N					Not required for Gate 1.			
		Project Information Tab - part 2										
2.200		**Workflow**							At the top of the Project Information tab, you will see Change Request, Alert Subscription, **Workflow**, and Project Associations. Place your cursor over Workflow and left click. This will display another screen.			
2.201			Deliverables state. You have to insert a value for fields in red (if any).	N					If any fields are displayed in red, they do not have a value entered in the PPM Tool. A value must be entered. On initial entry, the value zero is not recognized by the PPM Tool. You must enter a zero to resolve the error. You do not have to enter the zero in every field. You can go to the last column and enter a zero there for any column displaying a zero. NOTE: The data entry correction must be done on the Budget Cost tab (Level 4) and the Benefits Estimate Tab. (Level 2). For Gate 1 you do not need to make this adjustment. This adjustment needs to be made at Gate 2.			

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3.000	**Budget Cost Tab**											
3.100		**Total Investment Cost**							Enter the Budget at level 1 for Gate 1. The PM may enter the data at level 2,3, or 4. NOTE: When the project completes Gate 1 approval and is moved to the Planning & Design Phase, the PPM Tool automatically prorates the budget across the months of the project. (First and/or last years may not be divided by 12 if the project started date or end date is mid (fiscal) year) at the same level as input during Initiation. This is also prorated to the Cost Forecast tab. Once in Planning & Design, the PM will need to ensure the numbers are correct for each month at level 4.			
3.101			Level 1	Y					Enter the budget at level 1 for Gate 1. The Budget should include 5 years of O & M cost. For additional information on budget codes and cost breakdown please seek guidance from OSBM.			
3.102			Level 2	N					Optional, not required for Gate 1.			
3.103			Level 3	N					Optional, not required for Gate 1.			
3.104			Level 4	N					Optional, not required for Gate 1.			
4.000	**Budget Resource Tab**											
4.100		**NOTE: please do not enter data into this tab. This tab is not used.**										
5.000	**Benefits Estimate Tab**											
5.100		Total Benefits - Fiscal Year							Enter the Benefits at level 1 for Gate 1. The PM may enter the data at level 2. The Benefits Dollars should be entered by year and type of benefit. NOTE: When the project completes Gate 1 approval and is moved to the Planning & Design Phase, the PM will need to show the Benefits at level 2. For additional information on benefits please seek guidance from OSBM. The benefits can be cost avoidance or intangible cost. items. The benefits should exceed the cost of the project.			
5.101			Level 1	Y					Enter the Benefits dollars at level 1.			
5.102			Level 2	N					Optional, not required for Gate 1.			
6.000	**Strategic Impact Tab**											
6.100			Grow Self Service	Y					Select the category (Extreme, Strong, Moderate, Low, or None) that best describes your project. For "Grow Self Service", indicate the amount of savings to the State from this project building and enhancing capabilities to allow the public to conduct state business online.			
6.200			Ensure Legal and Regulatory Compliance	Y					Select the category (Extreme, Strong, Moderate, Low, or None) that best describes your project. For "Ensure Legal & Regulatory Compliance", indicate the amount by which the State will be effected from this project putting in place a proper governance framework to ensure compliance with laws and regulations.			

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6.300			Revenue Generation	Y					Select the category (Extreme, Strong, Moderate, Low, or None) that best describes your project. For "Revenue Generation", indicate the amount by which the project will increase the State's revenue by improving collections, seeking new sources of revenue, etc.			
6.400			Cost savings (Net)	Y					Select the category (Extreme, Strong, Moderate, Low, or None) that best describes your project. For "Cost Savings", indicate the amount by which the project will reduce operational costs by one or more methods such as reducing telephone calls by the use of e-mail, consolidating hardware, eliminating headcount, etc.			
6.500			Unified Services	Y					Select the category (Extreme, Strong, Moderate, Low, or None) that best describes your project. For "Unified Services", indicate the number of services that will be combined by providing multiple services at a single physical location or by data sharing between applications and programs. Services can be provided by one or multiple departments.			
7.000	**Risk Tab**											
7.100		01 Schedule Risk 10%										
7.101			01-01 Schedule / Timetable	Y					Indicate whether the schedule/timetable for completion of the whole project (not just the next phase) exceeds 12 months by selecting "Yes" or "No".			
7.102			01-02 Fixed End Date	Y					Indicate whether the project has a rigid, inflexible, and fixed end date by selecting "Yes" or "No".			
7.200		02 Funding Risk 10%										
7.201			02-01 Project Funding	Y					Indicate whether funding for the whole project (not just the next phase) has been identified / secured by selecting Fully identified / secured; Partially identified / secured; Not identified / secured.			
7.300		03 Project Management Risk 25%										
7.301			03-02 Project Team Location	Y					Indicate whether the project team be located at different geographical sites by selecting "Yes" or "No".			
7.302			03-01 Project Team Size	Y					Indicate whether the project team will consist of greater than 10 FTE for any phase or part of the project by selecting "Yes" or "No".			
7.303			03-03 Project Sponsor	Y					Indicate whether the project will be assigned a project sponsor from the business/program area or will he or she have the necessary breadth and level of authority by selecting "Yes" or "No". If the answer to either question is Yes, select "Yes".			
7.304			03-04 Vendor	Y					Indicate whether the project will involve more than one prime vendor or will the project involve one or more contracts totaling together over $25 million by selecting "Yes" or "No". If the answer to either question is Yes, select "Yes".			
7.305			03-05 Business Requirements	Y					Indicate whether the business/program areas know the business requirements or will the requirements be stable over the life of the project by selecting "Yes" or "No". If the answer to either question is Yes, select "Yes".			

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7.306			03-06 Goals & Objectives	Y					Indicate whether the business/program goals and objectives are known and agreed to by both business/program and IT executives by selecting "Yes" or "No".			
7.400		04 Technology Risk 32%										
7.401			04-01 New/unproven Technologies	Y					Indicate whether any of the major technologies that will be used for the project are new to the agency or unproven in general industry experience by selecting "Yes" or "No". If the answer to either question is Yes, select "Yes".			
7.402			04-02 Custom developed Software	Y					Indicate whether the project will employ custom-developed software or COTS packages that will be customized/changed over 20% by selecting "Yes" or "No".			
7.403			04-03 Data Interfaces	Y					Indicate whether the project will involve more than 3 data interfaces or integrations to exchange information with other systems/applications by selecting "Yes" or "No".			
7.404			04-04 Existing Infrastructure	Y					Indicate whether the existing infrastructure (computing power, data storage capacity, communications bandwidth, user interface processing, etc.) will be adequate for the system/application by selecting "Yes" or "No".			
7.500		05 Organization Risk 32%										
7.501			05-01 Number of Users / Stakeholders	Y					Indicate whether the number of different types of users plus number of different stakeholders exceed 5 by selecting "Yes" or "No".			
7.502			05-02 Organization involvement	Y					Indicate whether the number of business/program governmental organizations involved in the project will be greater than 3 (each local governmental entity counts as 1) by selecting "Yes" or "No".			
7.050			05-03 Implementation Sites	Y					Indicate whether there will be more than 50 geographically dispersed implementation sites by selecting "Yes" or "No".			
7.504			05-04 Implementation Approach	Y					Indicate whether the project involves either a statewide implementation or the 'big bang' (no prototypes or pilots or implementation phases) approach by selecting "Yes" or "No". If the answer to either question is Yes, select "Yes".			
7.600		06 Business / Program Impact Risk 40%										
7.601			06-01 Business Process	Y					Indicate whether the project will affect more than 1 business process by selecting "Yes" or "No".			
7.602			06-02 User Responsibility	Y					Indicate whether user work tasks/jobs will be changed significantly as a result of the project by selecting "Yes" or "No".			
7.603			06-03 Organizational Structure	Y					Indicate whether the organizational structure or reporting relationships will change significantly as a result of the project by selecting "Yes" or "No".			
7.700		07 Consequence of failure Risk 100%										
7.701			07-01 Project cancellation	Y					Indicate whether stopping the project before completion with significant expenditures and little residual benefit will cause serious consequences (such as embarrassing, widespread and negative publicity) by selecting "Yes" or "No".			

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		Section	Field		YES	NO	NA					
7.702			07-02 Schedule Slippage / Budget Overruns	Y					Indicate whether there will be serious consequences (such as embarrassing, widespread and negative publicity) if the project accomplishes most of the business/program objectives, but experiences significant schedule slippages and/or budget overruns by selecting "Yes" or "No".			
8.000	**Issues & Risk Tab**											
8.100		Issues							**Enter any high level issue.** The issues listed on this tab are reviewed by anyone with read access to the project. The PM should keep a detailed project issue list that the project team reviews regularly. It is suggested by the EPMO to upload the project issue list to the Document Management tab.			
8.101				Yes if a Issue was entered by statewide reviewer					NOTE: If any issue has been opened, please ensure you have entered a corrective action plan on the resolution description section. Any issues entered by statewide approvers must be addressed before the gate can be approved.			
8.102			Title						Enter a title for the issue.			
8.103			Date Entered						**System generated field.** This is automatically entered by the PPM Tool.			
8.104			Due Date						Enter a date the issue is due to be completed.			
8.105			Weight						Using the drop down list, select whether the issue is high, medium or low.			
8.106			State						Using the drop down list, select whether the issue is open or closed.			
8.107			Author						**System generated field.** This is automatically entered by the PPM Tool.			
8.108			Owner						Using the drop down list, select the person this issue is to be assigned to.			
8.109			Escalation Level						Using the drop down list, select where the issue is assigned, "program, project, or portfolio".			
8.110			Detailed Description						Enter a description of the issue.			
8.111			Resolution Description						Enter the resolution or corrective action plan for the issue. A suggested best practice is to update the resolution in the following format: MM/DD/YY, followed by Initials or Name by the person providing the update. This is helpful when the issue has been opened for more than one month or crosses phases. The resolution needs to specify what you are doing, why you are doing it , and when you expect to have it completed. Put the updates in descending order (most recent comment will be at the top).			
8.112			Agency ID						Enter the identification your agency is using. This can be left blank.			

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		Section	Field		YES	NO	NA					
8.113			High Level Category						Using the drop down list, select the category of impact for the issue.			
8.114			Owner of Issue						If the issue is to be assigned to someone other than the PM, the PM can enter the resource name or business group.			
8.115			Source						Using the drop down list, select which group has raised the issue or risk.			
8.200		Risk							Enter any significant risk that impacts the cost, scope or schedule. The risks listed on this tab are reviewed by anyone with read access to the project. The PM should keep a detailed project risk list that the project team reviews regularly.			
8.201				Yes if a Risk was entered by statewide reviewer					NOTE: If any risk has been opened, please ensure you have entered a corrective action plan on the resolution description section. Any risk entered by statewide approvers must be addressed before the gate can be approved.			
8.202			Title						Enter a title for the risk.			
8.203			Date Entered						**System generated field.** This is automatically entered by the PPM Tool.			
8.204			Due Date						Enter a date the risk is due to be resolved or no longer a concern.			
8.205			Weight						Using the drop down list, select whether the risk is high, medium or low.			
8.206			State						Using the drop down list, select whether the risk is open or closed.			
8.207			Author						**System generated field.** This is automatically entered by the PPM Tool.			
8.208			Owner						Using the drop down list, select the person this risk is to be assigned to.			
8.209			Escalation Level						Using the drop down list, select where the risk is assigned, "program,			
8.210			Detailed Description						Enter a description of the risk.			
8.211			Resolution Description						Enter the resolution or corrective action plan for the risk. A suggested best practice is to update the resolution in the following format: MM/DD/YY, followed by Initials or Name by the person providing the update. This is helpful when the risk has been opened for more than one month or crosses phases. The resolution needs to specify what you are doing, why you are doing it , and when you expect to have it completed. Put the updates in descending order (most recent comment will be at the top).			
8.212			Agency ID						Enter the identifier your agency is using. This can be left blank.			
8.213			High Level Category						Using the drop down list, select the category of impact for the risk.			
8.214			Owner of Risk						If the risk is to be assigned to someone other than the PM, the PM can enter the resource name or business group.			
8.215			Risk Level of Control						Using the drop down list, select the value 1 - 5 for the risk.			

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		Section	Field		YES	NO	NA					
8.216			Risk Likelihood						Using the drop down list, select the value 1 - 5 for the likelihood that this risk will occur.			
8.217			Risk Severity						Using the drop down list, select the value 1 - 5 for the risk severity.			
8.218			Significance						Enter the value from: Risk Level of Control + Risk Likelihood + Risk Severity.			
8.219			Source						Using the drop down list, select which group has raised the issue or risk.			
9.000	**Schedule Tab**											
9.100		Actual	Actual Start Date						**System generated field.** This field will be generated by the Project Portfolio Management (PPM) Tool using the earliest Planned Start Date listed under the Phases Section.			
9.200			Actual End Date						**System generated field.** This field will be generated by the PPM Tool using the latest Planned End Date listed under the Phases Section.			
9.300			Actual	Y					Enter the % complete for the entire project lifecycle.			
9.400		Phases	**Initiation Workflow**	Y								
9.401			Name	Y					Using the drop down list, select the Initiation Workflow.			
9.402			Planned Start Date	Y					Enter the date you **plan** to start the Initiation Phase of the project.			
9.403			Planned End Date	Y					Enter the date you **plan** to end the Initiation Phase of the project.			
9.404			Forecast Start Date	Y					If the start date for the Initiation Phase has changed enter the new forecast start date for the Initiation Phase. If it has not changed, it should be the same as the planned start date.			
9.405			Forecast End Date	Y					If the end date for the Initiation Phase has changed enter the new forecast end date for the Initiation Phase. If it has not changed, it should be the same as the planned end date.			
9.406			Completion	Y					Enter the % of work complete for the Initiation Phase. This should be 100%.			
9.500			**Planning and Design Workflow**									
9.501			Name	Y					Using the drop down list, select the Planning & Design Workflow.			
9.502			Planned Start Date	Y					Enter the date you **plan** to start the Planning & Design Phase of the project.			
9.503			Planned End Date	Y					Enter the date you **plan** to end the Planning & Design Phase of the project.			
9.504			Forecast Start Date	Y					The Forecast Start Date will be the same as the Planned Start Date for Gate 1.			
9.505			Forecast End Date	Y					The Forecast End Date will be the same as the Planned End Date for Gate 1.			

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		Section	Field		YES	NO	NA					
9.506			Completion	Y					Enter the % of work complete for the Planning & Design Phase. This should be zero however if you are working on Planning & Design activities please enter the % complete.			
9.600			**Execution and Build Workflow**									
9.601			Name	N					Using the drop down list, select the Execution & Build Workflow.			
9.602			Planned Start Date	N					Enter the date you **plan** to start the Execution & Build Phase of the project.			
9.603			Planned End Date	N					Enter the date you **plan** to end the Execution & Build Phase of the project.			
9.604			Forecast Start Date	N					If the start date for the Execution & Build Phase has changed enter the new forecast start date for the Execution & Build Phase. If it has not changed, it should be the same as the planned start date.			
9.605			Forecast End Date	N					If the end date for the Execution & Build Phase has changed enter the new forecast end date for the Execution & Build Phase. If it has not changed, it should be the same as the planned end date.			
9.606			Completion	N					Enter the % of work complete for the Execution & Build Phase. This should be zero however if you are working on Execution & Build activities please enter the % complete.			
9.700			**Implementation Workflow**									
9.701			Name	N					Using the drop down list, select the Implementation Workflow.			
9.702			Planned Start Date	N					Enter the date you **plan** to start the Implementation Phase of the project.			
9.703			Planned End Date	N					Enter the date you **plan** to end the Implementation Phase of the project.			
9.704			Forecast Start Date	N					If the start date for the Implementation Phase has changed enter the new forecast start date for the Implementation Phase. If it has not changed, it should be the same as the planned start date.			
9.705			Forecast End Date	N					If the end date for the Implementation Phase has changed enter the new forecast end date for the Implementation Phase. If it has not changed, it should be the same as the planned end date.			
9.706			Completion	N					Enter the % of work complete for the Implementation Phase. This should be zero however if you are working on Implementation activities please enter the % complete.			
9.800			**Project Closeout Workflow**									
9.801			Name	N					Using the drop down list, select the Project Closeout Workflow.			
9.802			Planned Start Date	N					Enter the date you **plan** to start the Project Closeout Phase of the project.			
9.803			Planned End Date	N					Enter the date you **plan** to end the Project Closeout Phase of the project.			

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		Section	Field		YES	NO	NA					
9.804			Forecast Start Date	N					If the start date for the Project Closeout Phase has changed enter the new forecast start date for the Project Closeout Phase. If it has not changed, it should be the same as the planned start date.			
9.805			Forecast End Date	N					If the end date for the Project Closeout Phase has changed enter the new forecast end date for the Project Closeout Phase. If it has not changed, it should be the same as the planned end date.			
9.806			Completion	N					Enter the % of work complete for the Project Closeout Phase. This should be zero however if you are working on Closeout activities please enter the % complete.			
9.900		Milestones		Y					Enter the Initiation Phase and Planning & Design Phase Milestones that are known at the time of Initiation.			
9.901			Milestone Name	Y					Enter the Milestone Name. Use the same Milestone name you used in your MS Project Plan which identifies your WBS.			
9.902			Planned Date	Y					Enter the planned end date for the Milestone.			
9.903			Forecast Date	Y					If the planned date of the Milestone changes, enter the new forecast date of the Milestone.			
9.100		Dependencies		N								
9.101			Project	N								
9.102			Milestone	N								
9.103			Type	N								
9.110		Microsoft Project		N					You can upload MS Project but it is **STRONGLY** suggested you do not upload it. Instead, place a copy of the MS Project document in the Document Management tab.			
10.000	**Status Tab**											
10.100		NOTE: For Gate 1 the status tab is not filled out for gate review.										
11.000	**Cost Tracking Tab**											
11.100		NOTE: The Cost Tracking Tab is not available at Gate 1.										
12.000	**Project Reports Tab**											
12.100		NOTE: This tab is not used for gate review										
13.000	**Document Management Tab**											
13.100		NOTE: This tab is only used to store additional project documentation that is not entered on any of the other PPM Tabs. These documents are placed into the Document										
14.000	**Additional Requirements not listed in the PPM Tool**											
14.100		Procurement Plan		Y								
14.101			Preliminary	Y				Y	Using the Procurement Template located in the Help Section of the PPM Tool, fill out the Preliminary Procurement Plan with the information that is know at this time.			
14.102			Final						The Final Procurement Plan will be completed later.			

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14.200		Meeting with the PMA on the project status		Y				▨▨▨	Discuss with your PMA the scope of this project, the ROM (Rough Order of Magnitude) of cost or the estimated High Level cost , and the projected schedule. Your PMA should review the data entered into the PPM Tool for Gate 1 BEFORE the project is submitted for Gate 1 approval.			
14.300		Operations & Maintenance										
14.301			If your project does not have 5 years O & M please explain why.	Y					Each project is expected to report 5 years O & M cost. Some projects will not have O & M while some projects may have less than 5 years O & M. The omission of O & M should be explained on two tabs of the PPM Tool . (1) The PM should explain in the "Item Out Of Scope" section on the Project Info tab why O & M is not needed for 5 years. (2) There should also be a note placed on the Budget Tab under the comments icon. Note: A Planning Project will not have any O & M. Also if the project lifecycle will only be in existence for 4 years, a 5 year O & M would not apply.			